

## **CFTC Management Directive 715 Report for FY14 Table of Contents**

### **PARTS**

Part A:	Identifying Information
Part B:	Total Employment
Part C:	Agency Officials
Part D:	List of Subordinate Components
Part E:	Executive Summary
Part F:	Certification
Part G:	Self-Assessment
Part H:	Model EEO Program Deficiencies
Part I:	EEO Plan to Eliminate Identified Barrier
Part J:	Individuals with Targeted Disabilities*

### **DATA TABLES\***

#### **Workforce Distributions by Race, National Origin, and Sex**

Table A1:	Total Workforce
Table A2:	Component (Divisions)
Table A3:	Occupational Categories
Table A4-1:	CT Grades - Permanent
Table A4-2:	CT Grades - Temporary
Table A5:	Wage Grades
Table A6:	Major Occupations
Table A7:	Applicants and Hires for Major Occupations

#### **Workforce Distributions by Disability and Targeted Disability**

Table B1:	Total Workforce
Table B2:	Component (Divisions)
Table B3:	Occupational Categories
Table B4-1:	CT Grades - Permanent
Table B4-2:	CT Grades - Temporary
Table B5:	Wage Grades
Table B6:	Major Occupations
Table B7:	Applicants and Hires

### **ATTACHMENTS**

Attachment A:	Chairman's EEO Policy Statement
Attachment B:	Chairman's Anti-Harassment Policy Statement
Attachment C:	CFTC Organizational Chart
Attachment D:	Annual Federal EEO Statistical Report of Discrimination Complaints (462 Report)

\* Agencies with less than 1,000 employees are exempt from Part J, Tables A8-A14 and B8-B14. The total CFTC workforce as of September 30, 2014 was 666.

EEOC FORM 715-01 PART A - D		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT		
Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014		
PART A Department or Agency Identifying Information	1. Agency	Commodity Futures Trading Commission		
	1.a. 2nd level reporting component			
	1.b. 3rd level reporting component			
	1.c. 4th level reporting component			
	2. Address	1155 21st Street, NW		
	3. City, State, Zip Code	Washington	District of Columbia	20581
	4. Agency Code	5. FIPS code(s)	4173	011
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees	647		
	2. Enter total number of temporary employees	19		
	3. Enter total number employees paid from non-appropriated funds	0		
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]	666		
PART C Agency Official(s) Responsible For Oversight of EEO Program(s)	1. Agency Head	Chairman, CFTC Timothy Massad		
	2. Agency Head Designee	Executive Director Anthony Thompson		
	3. EEO Director	Director, Office of Diversity and Inclusion Lorena McElwain		
	4. Affirmative Employment Manager	Diversity Program Manager Derrick Wilson		
	5. Complaint Processing Manager	Senior Equal Employment Specialist Sarah Summerville		
	6. Other EEO Staff			
	7. MD-715 Preparer	Director, ODI Lorena McElwain		
	8. Diversity and Inclusion Officer			
	9. Disability Special Emphasis Program Manager			
	10. Hispanic Special Emphasis Program Manager			
	11. Women's Special Emphasis Program Manager			
	12. Anti-Harassment Program Manager			
	13. Reasonable Accommodation Program Manager	Chief Human Capital Officer Laurie Lindsay		

<b>EEOC FORM 715-01 PART A - D</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>		
<b>Commodity Futures Trading Commission</b>	<b>For period covering October 1, 2013 to September 30, 2014</b>		
<b>PART D List of Subordinate Components Covered in This Report</b>	<b>Subordinate Component and Location (City/State)</b>	<b>CPDF and FIPS codes</b>	

<b>EEOC FORM 715-01 PART E</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
<b>Commodity Futures Trading Commission</b>	<b>For period covering October 1, 2013 to September 30, 2014</b>
<b>EXECUTIVE SUMMARY</b>	
<u>I) CFTC MISSION &amp; MISSION-RELATED FUNCTIONS</u>	
<p>Congress created the Commodity Futures Trading Commission (CFTC) in 1974 as an independent agency with the mandate to regulate commodity futures and option markets in the United States. The agency's mandate has been renewed and expanded several times since then, most recently by the Dodd-Frank Wall Street Reform and Consumer Protection Act, which includes regulating swaps and educating consumers about commodities fraud.</p>	
<u>II) CFTC EEO PROGRAM</u>	
<p>1. Demonstrated Commitment from Agency Leadership</p>	
<p>The ODI Director briefed the Acting Chairman (March 25, 2014) and the Incoming Chairman (July 2, 2014) on the status of the CFTC EEO program in compliance with MD-715. Chairman Timothy G. Massad was appointed on June 4, 2014, and he issued the Commission's EEO and sexual harassment policy statements on November 6, 2014. The ODI prepared a communication rollout strategy for the EEO policy statements that included updating EEO posters for display in common areas, updating orientation materials, and posting the new statements on the CFTC internal and external websites.</p>	
<p>2. Integration of EEO into Agency Mission</p>	
<p>The CFTC Chairman realigned the Office of Diversity and Inclusion (ODI), placing the EEO Officer under the direct supervision of the Agency Head in compliance with 29 C.F.R. 1614 and EEOC regulations effective 01/11/15.</p>	
<p>In FY14, the CFTC implemented a new orientation program for incoming political appointees and executives. The orientation includes a presentation on EEO and diversity, and allows the ODI Director to establish a working relationship with new senior staff. The ODI Director continued to attend the weekly senior staff meetings and reported on the progress being made towards the Commission's strategic plan with regard to management objectives. The ODI has incorporated the management objectives language pertaining to diversity into the 2014-2015 performance plan of the Office of the Executive Director, the 2015 priorities of the Office of Diversity and Inclusion, and the 2015 ODI employee performance standards.</p>	
<p>During FY14, ODI staff coordinated a student orientation program in partnership with the Human Resources Branch. This summer orientation integrated the various program and administrative divisions, and provided summer interns with a consistent introduction to the Commission. The ODI established a template for chartering internal employee organizations, and three affinity groups were established in FY14: the Association of Asian Americans and Pacific Islanders, the Latino-Hispanic Employee Association, and the Association of African American Employees. Within their first year, these groups have held five events to enhance the professional development of CFTC employees. The affinity groups have also co-chaired special emphasis events and advised the Commission on recruitment strategies.</p>	
<p>In FY15, CFTC hopes to establish a Diversity Council, conduct EEO/diversity training, and provide EEO/diversity training for employees and supervisors.</p>	
<p>3. Management and Program Accountability</p>	
<p>The ODI has provided EEO guidance on proposed policy revisions, such as reasonable accommodation procedures and merit promotion. In addition, the ODI sponsored joint training on recent reasonable accommodation and Pregnancy Discrimination Act developments for HR and EEO staff.</p>	
<p>4. Proactive Prevention of Unlawful Discrimination</p>	
<p>ODI established the CFTC Resolving Official Program in March of 2014, and has successfully utilized this neutral resource to resolve complaints at the informal and litigation phases. This program includes a template for settlement agreements and a process for clearing such agreements. In FY15, CFTC will seek to expand the number of resolving officials and provide them with training.</p>	
<p>ODI placed acquisition of a complaint management system on the list of unfunded priorities for FY13, and the system remains a</p>	

high priority item for FY15. In anticipation of acquiring this system, ODI has begun to update its EEO complaint processing forms and training for collateral-duty counselors in conjunction with the system rollout.

#### 5. Efficiency

CFTC provided training to 12 collateral-duty EEO Counselors in FY14. In addition, ODI staff attended EEOC training on writing accept/dismiss letters, conducting EEO investigations, and writing final agency decisions.

CFTC has a history of timely adherence to EEOC timeframes for processing complaints. ODI staff members have been active participants in the Small Agency EEO Advisory Council, and CFTC Chairs the EEO Process Committee of the Council. In that capacity, CFTC staff members have shared best practices in EEO program managements, such as Resolving Official Program principles, EEO settlement agreement template, and template for inter-agency agreement for processing conflict-of-interest cases.

#### 6. Responsiveness and Legal Compliance

In FY14, ODI oversaw implementation and monitored compliance with a settlement agreement that resolved an EEO matter. In this capacity, ODI staff worked with a number of internal offices to ensure timely compliance and appropriate implementation.

### III) BARRIERS ADDRESSED IN FY14

In order to continue diversifying the workforce, ODI raised awareness regarding persons with disabilities, women, and minorities. In order to continue diversifying the workforce, CFTC raised awareness regarding persons with disabilities, women, and minorities. In December 2013, CFTC established a partnership with DOD's Operation Warfighter Office to fully engage in the use of its intern program. Communications were sent to supervisors, managers, and business managers educating them about the intern program. In February 2014, a briefing was given by DOD to supervisors and staff to train/educate them about the program and the onboarding process. Since that time, CFTC has brought in two (2) Wounded Warriors and expect to have additional participants in the coming Fiscal Year. Persons with disabilities represented 5% of permanent hires in FY14. The declination rate for persons with disabilities (-7%) was two percentage points lower than the declination rate for the CFTC workforce (-9%). These trends contributed to the proportion of persons with disabilities being twice as high in FY14 (4%) as it was in FY11 (2%).

The participation rate for African Americans remained at 17%, which exceeds the CLF by 5 percentage points. The participation rate for Asian Americans continued to rise, reaching 10% and exceeding the CLF by 1 percentage point. The accession of one American Indian brought the participation rate for this group to .15%; however this rate continues to be lower than the CLF (1%). Women in the CFTC workforce increased from 43% to 44%, which is 4 percentage points below the CLF. The participation rate for Hispanic declined from 4% to 3%, which is 8 percentage points lower than the CLF.

The participation rate for African Americans remained at 17%, which exceeds the CLF by 5 percentage points. The participation rate for Asian Americans continued to rise, reaching 10% and exceeding the CLF by 1 percentage point. The accession of one American Indian brought the participation rate for this group to .15%; however this rate continues to be lower than the CLF (1%). Women in the CFTC workforce increased from 43% to 44%, which is 4 percentage points below the CLF. The participation rate for Hispanic declined from 4% to 3%, which is 8 percentage points lower than the CLF.

During their first year, the Association of Asian Americans and Pacific Islanders and the Latino-Hispanic Employee Association also played a role in providing professional development through five brown bag lunches featuring mission-oriented and personnel subjects, as well as community outreach and cultural celebrations. This integrated approach to diversity will help the CFTC continue to strengthen its workforce diversity.

### IV) KEY PRIORITIES FOR FY15

In FY15, ODI will continue to make progress towards the diversity initiatives as stated in the Management Objectives section of the CFTC Strategic Plan, including:

- Establishing a CFTC Diversity Advisory Council
- Establishing formal agreements with external minority organizations
- Conducting NoFEAR and diversity training for employees and supervisors
- Assessing complaint trends to enhance EEO programs
- Updating orientation materials and EEO posters with new EEO policy statements
- Acquiring an electronic complaint management system

EEOC FORM  
715-01  
PART F

U.S. Equal Employment Opportunity Commission  
FEDERAL AGENCY ANNUAL  
EEO PROGRAM STATUS REPORT

CERTIFICATION of ESTABLISHMENT of CONTINUING  
EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, **LORENA O. MCELWAIN** am the

(Insert name above)

(Insert official  
title/series/grade above)

Principal EEO Director/Official for

**COMMODITY FUTURES TRADING COMMISSION (CFTC)**

(Insert Agency/Component Name above)

The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program, are included with this Federal Agency Annual EEO Program Status Report.

The agency has also analyzed its work force profiles and conducted barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, as appropriate, are included with this Federal Agency Annual EEO Program Status Report.

I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.



LORENA O. MCELWAIN, Principal EEO Director/Official

Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

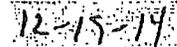


Date



TIMOTHY G. MASSAD, Chairman  
Agency Head

Commodity Futures Trading Commission (CFTC)



Date

EEOC FORM 715-01 PART G		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
<b>Essential Element A: DEMONSTRATED COMMITMENT FROM AGENCY LEADERSHIP</b> Requires the agency head to issue written policy statements ensuring a workplace free of discriminatory harassment and a commitment to equal employment opportunity.					
Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
<b>Compliance Indicator</b>	EEO policy statements are up-to-date.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
The Agency Head was installed on <u>06/04/2014</u> The EEO policy statement was issued on <u>11/06/2014</u> Was the EEO policy statement issued within 6-9 of the installation of the Agency Head?		X			
During the current Agency Head's tenure, has the EEO policy Statement been re-issued annually? If no, provide an explanation.				X	
Are new employees provided a copy of the EEO policy statement during orientation?		X			
When an employee is promoted into the supervisory ranks, is s/he provided a copy of the EEO policy statement?		X			
<b>Compliance Indicator</b>	EEO policy statements have been communicated to all employees.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
Have the heads of subordinate reporting components communicated support of all agency EEO policies through the ranks?		X			
Has the agency made written materials available to all employees and applicants, informing them of the variety of EEO programs and administrative and judicial remedial procedures available to them?		X			
Has the agency prominently posted such written materials in all personnel offices, EEO offices, and on the agency's internal website? [see 29 CFR §1614.102(b)(5)]		X			

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
Compliance Indicator	Agency EEO policy is vigorously enforced by agency management.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Are managers and supervisors evaluated on their commitment to agency EEO policies and principles, including their efforts to:		X			
resolve problems/disagreements and other conflicts in their respective work environments as they arise?		X			
address concerns, whether perceived or real, raised by employees and following-up with appropriate action to correct or eliminate tension in the workplace?		X			
support the agency's EEO program through allocation of mission personnel to participate in community out-reach and recruitment programs with private employers, public schools and universities?		X			
ensure full cooperation of employees under his/her supervision with EEO office officials such as EEO Counselors, EEO Investigators, etc.?		X			
ensure a workplace that is free from all forms of discrimination, harassment and retaliation?		X			
ensure that subordinate supervisors have effective managerial, communication and interpersonal skills in order to supervise most effectively in a workplace with diverse employees and avoid disputes arising from ineffective communications ?		X			
ensure the provision of requested religious accommodations when such accommodations do not cause an undue hardship?		X			
ensure the provision of requested disability accommodations to qualified individuals with disabilities when such accommodations do not cause an undue hardship?		X			
Have all employees been informed about what behaviors are inappropriate in the workplace and that this behavior may result in disciplinary actions? Describe what means were utilized by the agency to so inform its workforce about the penalties for unacceptable behavior.		X			
Have the procedures for reasonable accommodation for individuals with disabilities been made readily available/accessible to all employees by disseminating such procedures during orientation of new employees and by making such procedures available on the World Wide Web or Internet?		X			
Have managers and supervisor been trained on their responsibilities under the procedures for reasonable accommodation?		X			

<b>Essential Element B: INTEGRATION OF EEO INTO THE AGENCY'S STRATEGIC MISSION</b> <b>Requires that the agency's EEO programs be organized and structured to maintain a workplace that is free from discrimination in any of the agency's policies, procedures or practices and supports the agency's strategic mission.</b>					
Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
Compliance Indicator	<b>The reporting structure for the EEO Program provides the Principal EEO Official with appropriate authority and resources to effectively carry out a successful EEO Program.</b>	Measure has been met			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
Measures		Yes	No	N/A	
Is the EEO Director under the direct supervision of the agency head? [see 29 CFR §1614.102(b)(4)] For subordinate level reporting components, is the EEO Director/Officer under the immediate supervision of the lower level component's head official? (For example, does the Regional EEO Officer report to the Regional Administrator?)		X			The CFTC Chairman placed the EEO Officer under his direct supervision effective 1/11/15.
Are the duties and responsibilities of EEO officials clearly defined?		X			
Do the EEO officials have the knowledge, skills, and abilities to carry out the duties and responsibilities of their positions?		X			
If the agency has 2nd level reporting components, are there organizational charts that clearly define the reporting structure for EEO programs?				X	
If the agency has 2nd level reporting components, does the agency-wide EEO Director have authority for the EEO programs within the subordinate reporting				X	
If not, please describe how EEO program authority is delegated to subordinate reporting components.				X	
Compliance Indicator	<b>The EEO Director and other EEO professional staff responsible for EEO programs have regular and effective means of informing the agency head and senior management officials of the status of EEO programs and are involved in, and consulted on, management/personnel actions.</b>	Measure has been met			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
Measures		Yes	No	N/A	
Does the EEO Director/Officer have a regular and effective means of informing the agency head and other top management officials of the effectiveness, efficiency and legal compliance of the agency's EEO program?		X			
Following the submission of the immediately preceding FORM 715-01, did the EEO Director/Officer present to the head of the agency and other senior officials the "State of the Agency" briefing covering all components of the EEO report, including an assessment of the performance of the agency in each of the six elements of the Model EEO Program and a report on the progress of the agency in completing its barrier analysis including any barriers it identified and/or eliminated or reduced the impact of?		X			
Are EEO program officials present during agency deliberations prior to decisions regarding recruitment strategies, vacancy projections, succession planning, selections		X			

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
Does the agency consider whether any group of employees or applicants might be negatively impacted prior to making human resource decisions such as reorganizations and re-alignments?		X			
Are management/personnel policies, procedures and practices examined at regular intervals to assess whether there are hidden impediments to the realization of equality of opportunity for any group(s) of employees or applicants? [see 29 C.F.R. § 1614.102(b)(3)]		X			
Is the EEO Director included in the agency's strategic planning, especially the agency's human capital plan, regarding succession planning, training, etc., to ensure		X			
<b>Compliance Indicator</b>	<b>The agency has committed sufficient human resources and budget allocations to its EEO programs to ensure successful operation.</b>	<b>Measure has been met</b>			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
<b>Measures</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	
Does the EEO Director have the authority and funding to ensure implementation of agency EEO action plans to improve EEO program efficiency and/or eliminate identified barriers to the realization of equality of opportunity?		X			
Are sufficient personnel resources allocated to the EEO Program to ensure that agency self-assessments and self-analyses prescribed by EEO MD-715 are conducted annually and to maintain an effective complaint processing system?		X			
Are statutory/regulatory EEO related Special Emphasis Programs sufficiently		X			
Federal Women's Program - 5 U.S.C. 7201; 38 U.S.C. 4214; Title 5 CFR, Subpart B, 720.204		X			
Hispanic Employment Program - Title 5 CFR, Subpart B, 720.204		X			
People With Disabilities Program Manager; Selective Placement Program for Individuals With Disabilities - Section 501 of the Rehabilitation Act; Title 5 U.S.C. Subpart B, Chapter 31, Subchapter I-3102; 5 CFR 213.3102(t) and (u); 5 CFR 315.709		X			
Are other agency special emphasis programs monitored by the EEO Office for coordination and compliance with EEO guidelines and principles, such as FEORP - 5 CFR 720; Veterans Employment Programs; and Black/African American; American Indian/Alaska Native, Asian American/Pacific Islander programs?		X			
<b>Compliance Indicator</b>	<b>The agency has committed sufficient budget to support the success of its EEO Programs.</b>	<b>Measure has been met</b>			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
<b>Measures</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	

Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014			
Are there sufficient resources to enable the agency to conduct a thorough barrier analysis of its workforce, including the provision of adequate data collection and tracking systems	X			
Is there sufficient budget allocated to all employees to utilize, when desired, all EEO programs, including the complaint processing program and ADR, and to make a request for reasonable accommodation? (Including subordinate level reporting components?)	X			
Has funding been secured for publication and distribution of EEO materials (e.g. harassment policies, EEO posters, reasonable accommodations procedures, etc.)?	X			
Is there a central fund or other mechanism for funding supplies, equipment and services necessary to provide disability accommodations?	X			
Does the agency fund major renovation projects to ensure timely compliance with Uniform Federal Accessibility Standards?	X			
Is the EEO Program allocated sufficient resources to train all employees on EEO Programs, including administrative and judicial remedial procedures available to employees?	X			
Is there sufficient funding to ensure the prominent posting of written materials in all personnel and EEO offices? [see 29 C.F.R. § 1614.102(b)(5)]	X			
Is there sufficient funding to ensure that all employees have access to this training and information?	X			
Is there sufficient funding to provide all managers and supervisors with training and periodic up-dates on their EEO responsibilities:				
for ensuring a workplace that is free from all forms of discrimination, including harassment and retaliation?	X			
to provide religious accommodations?	X			
to provide disability accommodations in accordance with the agency's written procedures?	X			
in the EEO discrimination complaint process?	X			
to participate in ADR?	X			

Essential Element C: MANAGEMENT AND PROGRAM ACCOUNTABILITY						
This element requires the Agency Head to hold all managers, supervisors, and EEO Officials responsible for the effective implementation of the agency's EEO Program and Plan.						
Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014				
Compliance Indicator	EEO program officials advise and provide appropriate assistance to managers/supervisors about the status of EEO programs within each manager's or supervisor's area or responsibility.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report	
Measures		Yes	No	N/A		
Are regular (monthly/quarterly/semi-annually) EEO updates provided to management/supervisory officials by EEO program officials?		X				
Do EEO program officials coordinate the development and implementation of EEO Plans with all appropriate agency managers to include Agency Counsel, Human Resource Officials, Finance, and the Chief information Officer?		X				
Compliance Indicator	The Human Resources Director and the EEO Director meet regularly to assess whether personnel programs, policies, and procedures are in conformity with instructions contained in EEOC management directives. [see 29 CFR § 1614.102(b)(3)]	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report	
Measures		Yes	No	N/A		
Have time-tables or schedules been established for the agency to review its Merit Promotion Program Policy and Procedures for systemic barriers that may be impeding full participation in promotion opportunities by all groups?		X				
Have time-tables or schedules been established for the agency to review its Employee Recognition Awards Program and Procedures for systemic barriers that may be impeding full participation in the program by all groups?		X				
Have time-tables or schedules been established for the agency to review its Employee Development/Training Programs for systemic barriers that may be impeding full participation in training opportunities by all groups?		X				
Compliance Indicator	When findings of discrimination are made, the agency explores whether or not disciplinary actions should be taken.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report	
Measures		Yes	No	N/A		
Does the agency have a disciplinary policy and/or a table of penalties that covers employees found to have committed discrimination?			X		ODI briefed CFTC on this requirement in FY14	

Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014			
Have all employees, supervisors, and managers been informed as to the penalties for being found to perpetrate discriminatory behavior or for taking personnel actions based upon a prohibited basis?	X			
Has the agency, when appropriate, disciplined or sanctioned managers/supervisors or employees found to have discriminated over the past two years?	X			No findings in the past two years.
If so, cite number found to have discriminated and list penalty /disciplinary action				
Does the agency promptly (within the established time frame) comply with EEOC, Merit Systems Protection Board, Federal Labor Relations Authority, labor arbitrators, and District Court orders?	X			
Does the agency review disability accommodation decisions/actions to ensure compliance with its written procedures and analyze the information tracked for trends, problems, etc.??	X			

<b>Essential Element D: PROACTIVE PREVENTION</b> <b>Requires that the agency head makes early efforts to prevent discriminatory actions and eliminate barriers to equal employment opportunity in the workplace.</b>					
Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
Compliance Indicator	<b>Analyses to identify and remove unnecessary barriers to employment are conducted throughout the year.</b>	Measure has been met			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
Measures		Yes	No	N/A	
Do senior managers meet with and assist the EEO Director and/or other EEO Program Officials in the identification of barriers that may be impeding the realization of equal employment opportunity?		X			
When barriers are identified, do senior managers develop and implement, with the assistance of the agency EEO office, agency EEO Action Plans to eliminate said barriers?		X			
Do senior managers successfully implement EEO Action Plans and incorporate the EEO Action Plan Objectives into agency strategic plans?		X			
Are trend analyses of workforce profiles conducted by race, national origin, sex and disability?		X			
Are trend analyses of the workforce's major occupations conducted by race, national origin, sex and disability?		X			
Are trends analyses of the workforce's grade level distribution conducted by race, national origin, sex and disability?		X			
Are trend analyses of the workforce's compensation and reward system conducted by race, national origin, sex and disability?		X			
Are trend analyses of the effects of management/personnel policies, procedures and practices conducted by race, national origin, sex and disability?		X			
Compliance Indicator	<b>The use of Alternative Dispute Resolution (ADR) is encouraged by senior management.</b>	Measure has been met			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
Measures		Yes	No	N/A	
Are all employees encouraged to use ADR?		X			

Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014			
Is the participation of supervisors and managers in the ADR process required?		X		The CFTC Resolving Official engages in ADR on behalf of the Commission as needed, for example when a supervisor/manager is unavailable to participate

<p align="center"><b>Essential Element E: EFFICIENCY</b></p> <p align="center">Requires that the agency head ensure that there are effective systems in place for evaluating the impact and effectiveness of the agency's EEO Programs as well as an efficient and fair dispute resolution process.</p>	
Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
Compliance Indicator	The agency has sufficient staffing, funding, and authority to achieve the elimination of identified barriers.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the EEO Office employ personnel with adequate training and experience to conduct the analyses required by MD-715 and these instructions?		X			
Has the agency implemented an adequate data collection and analysis systems that permit tracking of the information required by MD-715 and these instructions?		X			
Have sufficient resources been provided to conduct effective audits of field facilities' efforts to achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act?			X		A compliance review program will be developed in FY16
Is there a designated agency official or other mechanism in place to coordinate or assist with processing requests for disability accommodations in all major components of the agency?		X			
Are 90% of accommodation requests processed within the time frame set forth in the agency procedures for reasonable accommodation?		X			
Compliance Indicator	The agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the agency's EEO Programs.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
Measures		Yes	No	N/A	
Does the agency use a complaint tracking and monitoring system that allows identification of the location, and status of complaints and length of time elapsed at each stage of the agency's complaint resolution process?			X		See Part H.
Does the agency's tracking system identify the issues and bases of the complaints, the aggrieved individuals/complainants, the involved management officials and other information to analyze complaint activity and trends?			X		See Part H.
Does the agency hold contractors accountable for delay in counseling and investigation processing times?		X			
If yes, briefly describe how:					
Does the agency monitor and ensure that new investigators, counselors, including contract and collateral duty investigators, receive the 32 hours of training required in accordance with EEO Management Directive MD-110?		X			
Does the agency monitor and ensure that experienced counselors, investigators, including contract and collateral duty investigators, receive the 8 hours of refresher training required on an annual basis in accordance with EEO Management Directive MD-110?		X			

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
<b>Compliance Indicator</b>	The agency has sufficient staffing, funding and authority to comply with the time frames in accordance with the EEOC (29 C.F.R. Part 1614) regulations for processing EEO complaints of employment discrimination.	<b>Measure has been met</b>			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
Are benchmarks in place that compare the agency's discrimination complaint processes with 29 C.F.R. Part 1614?		X			
Does the agency provide timely EEO counseling within 30 days of the initial request or within an agreed upon extension in writing, up to 60 days?		X			
Does the agency provide an aggrieved person with written notification of his/her rights and responsibilities in the EEO process in a timely fashion?		X			
Does the agency complete the investigations within the applicable prescribed time frame?		X			
When a complainant requests a final agency decision, does the agency issue the decision within 60 days of the request?		X			
When a complainant requests a hearing, does the agency immediately upon receipt of the request from the EEOC AJ forward the investigative file to the EEOC Hearing Office?		X			
When a settlement agreement is entered into, does the agency timely complete any obligations provided for in such agreements?		X			
Does the agency ensure timely compliance with EEOC AJ decisions which are not the subject of an appeal by the agency?		X			
<b>Compliance Indicator</b>	There is an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of the agency's EEO complaint processing program.	<b>Measure has been met</b>			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
In accordance with 29 C.F.R. §1614.102(b), has the agency established an ADR Program during the pre-complaint and formal complaint stages of the EEO process?		X			
Does the agency require all managers and supervisors to receive ADR training in accordance with EEOC (29 C.F.R. Part 1614) regulations, with emphasis on the federal government's interest in encouraging mutual resolution of disputes and the benefits associated with utilizing ADR?		X			

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
After the agency has offered ADR and the complainant has elected to participate in ADR, are the managers required to participate?			X		The CFTC Resolving Official engages in ADR on behalf of the Commission as needed, for example when a supervisor/manager is unavailable to participate
Does the responsible management official directly involved in the dispute have settlement authority?		X			In addition, the Chairman has delegated settlement authority to the CFTC Resolving Official
<b>Compliance Indicator</b>	<b>The agency has effective systems in place for maintaining and evaluating the impact and effectiveness of its EEO programs.</b>	<b>Measure has been met</b>			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
<b>Measures</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	
Does the agency have a system of management controls in place to ensure the timely, accurate, complete and consistent reporting of EEO complaint data to the		X			
Does the agency provide reasonable resources for the EEO complaint process to ensure efficient and successful operation in accordance with 29 C.F.R. § 1614.102		X			
Does the agency EEO office have management controls in place to monitor and ensure that the data received from Human Resources is accurate, timely received, and contains all the required data elements for submitting annual reports to the EEOC?		X			
Do the agency's EEO programs address all of the laws enforced by the EEOC?		X			
Does the agency identify and monitor significant trends in complaint processing to determine whether the agency is meeting its obligations under Title VII and the Rehabilitation Act?		X			
Does the agency track recruitment efforts and analyze efforts to identify potential barriers in accordance with MD-715 standards?		X			
Does the agency consult with other agencies of similar size on the effectiveness of their EEO programs to identify best practices and share ideas?		X			
<b>Compliance Indicator</b>	<b>The agency ensures that the investigation and adjudication function of its complaint resolution process are separate from its legal defense arm of agency or other offices with conflicting or competing interests.</b>	<b>Measure has been met</b>			<b>For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report</b>
<b>Measures</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	

Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014			
Are legal sufficiency reviews of EEO matters handled by a functional unit that is separate and apart from the unit which handles agency representation in EEO	X			
If applicable, are processing time frames incorporated for the legal counsel's sufficiency review for timely processing of complaints?	X			
Does the agency discrimination complaint process ensure a neutral adjudication function?	X			

<p align="center"><b>Essential Element F: RESPONSIVENESS AND LEGAL COMPLIANCE</b>  This element requires that federal agencies are in full compliance with EEO statutes and EEOC regulations, policy guidance, and other written instructions.</p>	
Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014

Commodity Futures Trading Commission		For period covering October 1, 2013 to September 30, 2014			
<b>Compliance Indicator</b>	Agency personnel are accountable for timely compliance with orders issued by EEOC Administrative Judges.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
Does the agency have a system of management control to ensure that agency officials timely comply with any orders or directives issued by EEOC Administrative			X		ODI provided feedback to proposed executive standards in the Fall of 2014
<b>Compliance Indicator</b>	The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
Does the agency have control over the payroll processing function of the agency? If Yes, answer the two questions below.			X		
Are there steps in place to guarantee responsive, timely, and predictable processing of ordered monetary relief?				X	
Are procedures in place to promptly process other forms of ordered relief?				X	
<b>Compliance Indicator</b>	The agency's system of management controls ensures that the agency timely completes all ordered corrective action and submits its compliance report to EEOC within 30 days of such completion.	Measure has been met			For all unmet measures, provide a brief explanation in the space below or complete and attach an EEOC FORM 715-01 PART H to the agency's status report
<b>Measures</b>		Yes	No	N/A	
Is compliance with EEOC orders encompassed in the performance standards of any agency employees?			X		ODI provided feedback to proposed executive standards in the Fall of 2014
If so, please identify the employees by title in the comments section, and state how performance is measured.					
Is the unit charged with the responsibility for compliance with EEOC orders located in the EEO office?		X			
If not, please identify the unit in which it is located, the number of employees in the unit, and their grade levels in the comments section.					

Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014			
Have the involved employees received any formal training in EEO compliance?	X			
Does the agency promptly provide to the EEOC the following documentation for completing compliance:				
Attorney Fees: Copy of check issued for attorney fees and /or a narrative statement by an appropriate agency official, or agency payment order dating the dollar amount of attorney fees paid?	X			
Awards: A narrative statement by an appropriate agency official stating the dollar amount and the criteria used to calculate the award?	X			
Back Pay and Interest: Computer print-outs or payroll documents outlining gross back pay and interest, copy of any checks issued, narrative statement by an appropriate agency official of total monies paid?	X			
Compensatory Damages: The final agency decision and evidence of payment, if made?	X			
Training: Attendance roster at training session(s) or a narrative statement by an appropriate agency official confirming that specific persons or groups of persons attended training on a date certain?	X			
Personnel Actions (e.g., Reinstatement, Promotion, Hiring, Reassignment): Copies of SF-50s	X			
Posting of Notice of Violation: Original signed and dated notice reflecting the dates that the notice was posted. A copy of the notice will suffice if the original is not available.	X			
Supplemental Investigation: 1. Copy of letter to complainant acknowledging receipt from EEOC of remanded case. 2. Copy of letter to complainant transmitting the Report of Investigation (not the ROI itself unless specified). 3. Copy of request for a hearing (complainant's request or agency's transmittal letter).	X			
Final Agency Decision (FAD): FAD or copy of the complainant's request for a hearing.	X			
Restoration of Leave: Print-out or statement identifying the amount of leave restored, if applicable. If not, an explanation or statement.	X			
Civil Actions: A complete copy of the civil action complaint demonstrating same issues raised as in compliance matter.	X			
Settlement Agreements: Signed and dated agreement with specific dollar amounts, if applicable. Also, appropriate documentation of relief is provided.	X			

Footnotes:

1. See 29 C.F.R. § 1614.102.

2. When an agency makes modifications to its procedures, the procedures must be resubmitted to the Commission. See EEOC Policy Guidance on Executive Order 13164: Establishing Procedures to Facilitate the Provision of Reasonable Accommodation (10/20/00), Question 28

<b>EEOC FORM 715-01 PART H-1</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
<b>Commodity Futures Trading Commission</b>		<b>For period covering October 1, 2013 to September 30, 2014</b>
<b>STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:</b>	The Agency has an effective complaint tracking and monitoring system in place to increase the effectiveness of the Agency's EEO Programs.	
<b>OBJECTIVE:</b>	Automate current manual process by acquiring complaint management software to track cases and conduct trend analyses.	
<b>RESPONSIBLE OFFICIAL:</b>	ODI Director	
<b>DATE OBJECTIVE INITIATED:</b>	07/30/12	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	09/30/15	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		
Initiate unfunded requirement discussion for FY13 with Executive Director <b>TARGET DATE: 08/30/2012</b>		
Conduct market research based on requirements <b>TARGET DATE: 03/31/2014</b>		
Compete and select vendor <b>TARGET DATE: 06/30/2014</b>		
Train users (ODI staff and collateral-duty EEO Counselors) on new system <b>TARGET DATE: 08/01/2015</b>		
Begin uploading cases into electronic complaint management system. <b>TARGET DATE: 09/01/2015</b>		
Award contract <b>TARGET DATE: 03/31/2015</b>		
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
As part of the consideration process to reduce costs in FY13 and avoid furloughs, the electronic complaint management system was placed on the list of unfunded requirements for FY14. The system was not funded in FY14 due to restrictions impacting technology funding. The system remains a high-priority item on the unfunded requirements list for FY15. During FY14, ODI staff met with Procurement and IT staff, and conducted market research. This workgroup determined the system purchase and project management would be handled by the Office of Data and Technology. A vendor was selected during the fourth quarter of FY14; however the contract was not awarded. CFTC hopes to award the contract in FY15.		

<b>EEOC FORM 715-01 PART H-2</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>	
<b>Commodity Futures Trading Commission</b>		<b>For period covering October 1, 2013 to September 30, 2014</b>
<b>STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:</b>	EEO policy statements are up-to-date	
<b>OBJECTIVE:</b>	Revise and disseminate EEO policy statements	
<b>RESPONSIBLE OFFICIAL:</b>	ODI Director	
<b>DATE OBJECTIVE INITIATED:</b>	07/02/2014	
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>	10/30/2014	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		
Brief incoming Chairman on EEO program requirements  <b>TARGET DATE: 07/04/2014</b>		
Draft EEO policy statements  <b>TARGET DATE: 08/29/2014</b>		
Submit EEO policy statements to OGC for review  <b>TARGET DATE: 08/22/2014</b>		
Submit EEO policy statements to unions  <b>TARGET DATE: 09/22/2014</b>		
Disseminate Chairman's message to all employees with link to new EEO policy statements  <b>TARGET DATE: 10/31/2014</b>		
Post revised EEO posters throughout common areas Commission-wide  <b>TARGET DATE: 11/07/2014</b>		
Revise orientation materials and begin issuing to new employees  <b>TARGET DATE: 12/31/2014</b>		
Prepare orientation materials for new supervisors and provide statements upon appointment  <b>TARGET DATE: 03/31/2015</b>		
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		

EEOC FORM 715-01 PART I-1	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
Commodity Futures Trading Commission	For period covering October 1, 2013 to September 30, 2014	
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>Hispanics and American Indians/Alaska Natives have had low participation in the total CFTC workforce during the last three fiscal years. The proportion of Hispanics declined by 1 percentage point to 3% in FY14, and continued to have a low participation rate compared to the CLF (10%). The participation of American Indians/Alaska Natives increased from 0% to 0.15% and continued to have a low participation rate compared to the CLF (1%).</p> <p>The proportion of women in senior management levels (CT15+) declined from 31% to 29%. Women have low participation rates in senior management levels (29%) compared to the CFTC (44%).</p> <p>Groups with low participation in core occupations compared to the Relevant CLF: Women in the Economist series; Hispanics in the Economist, Auditor, General Attorney, General Business, and Inspection &amp; Compliance series; Blacks in the Economist and General Business series; American Indians in the Economist, Auditor, General Attorney, General Business, and Inspection &amp; Compliance series; Asian Americans/PI in the Economist series.</p>	
<p>BARRIER ANALYSIS:</p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<ul style="list-style-type: none"> <li>• Analyzed MD-715 Tables A1, A3, A4, and A6</li> <li>• Discussed diversity recruitment practices with HR staff</li> </ul>	
<p>STATEMENT OF IDENTIFIED BARRIER:</p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Lack of recruitment elements emphasizing diversity from a corporate perspective</p>	
<p>OBJECTIVE:</p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Develop a targeted recruitment plan to complement existing recruitment efforts</p>	
<p>RESPONSIBLE OFFICIAL:</p>	<p>Anthony Thompson, Lorena McElwain, Laurie Lindsay</p>	
<p>DATE OBJECTIVE INITIATED:</p>	<p>07/01/12</p>	
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>09/30/13</p>	
<p>OBJECTIVE:</p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Establish 10 minority partnerships by 2018 in support of the Management Objectives as described in the CFTC Strategic Plan: 3 in 2015, 3 in 2016, 2 in 2017, 2 in 2018.</p>	
<p>RESPONSIBLE OFFICIAL:</p>	<p>Lorena McElwain</p>	
<p>DATE OBJECTIVE INITIATED:</p>	<p>03/31/2014</p>	
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>09/30/2018</p>	

<b>OBJECTIVE:</b> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.		Establish CFTC Diversity Advisory Council to support the 2011 Executive Order on Diversity. Council to be co-chaired by HRB and ODI.
<b>RESPONSIBLE OFFICIAL:</b>		Lorena McElwain, Laurie Lindsay
<b>DATE OBJECTIVE INITIATED:</b>		10/01/2013
<b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b>		09/30/2015
<b>EEOC FORM 715-01 PART I-1</b>	<b>EEO Plan To Eliminate Identified Barrier</b>	
<b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b>		<b>TARGET DATE (Must be specific)</b>
Identify requirements and compete contract to develop targeted recruitment strategy		08/30/12
Select vendor and have project kick off meeting		09/30/12
Receive final deliverable (targeted recruitment strategy)		06/30/13
Select outreach and partnership activities for inclusion in the FY14 budget		07/30/13
Prepare integrated ODI-HRB diversity strategy to eliminate duplication and facilitate reporting		04/30/2014
Submit draft Diversity Council charter for internal clearance.		12/31/2014
Submit draft Diversity Council charter to unions.		03/31/2015
Finalize Diversity Council charter.		06/30/2015
Appoint members to Diversity Council and hold first meeting.		09/30/2015
Draft CFTC-LULAC memorandum of agreement.		11/30/2104
Clear and approve CFTC-LULAC memorandum of agreement.		05/29/2015
Sign CFTC-LULAC memorandum of agreement during the 2015 LULAC Conference.		07/10/2015
Charter one employee affinity group.		12/31/2014
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>		
CFTC selected Golden Key in September of 2012 to prepare a targeted recruitment strategy with a corporate emphasis on increasing diversity in core occupations, increasing the participation of women in the senior grade levels, and leveraging student programs to promote CFTC as an employer of choice among persons with disabilities. To date, the vendor has prepared analyses and identified potential partnership opportunities based on feedback from ODI, HRB, and key stakeholders.		

<p>During FY13, ODI established a template for chartering employee affinity groups. In FY14, CFTC established three affinity groups: the Association of Asian Americans and Pacific Islanders, the Latino-Hispanic Employee Association, and the Association of African Americans. During their first year, these affinity groups played a role in providing professional development through five brown bag lunches featuring mission-oriented and personnel subjects, as well as community outreach and cultural celebrations. In addition, CFTC Pride is expected to be chartered in FY15.</p> <p>With regard to external partnerships, CFTC is in the process of pursuing formal agreements with two organizations in order to help advance the Commission's diversity goals and position CFTC as a model employer among minority populations. This integrated approach internal and external partnerships, along with a Diversity Council, will help the CFTC continue to strengthen its workforce diversity.</p>	
<p>During FY14, CFTC attended meetings with the Office of Personnel Management regarding diversity initiatives and documented best practices for managing and integrating a diversity council. CFTC has developed a draft charter for a Diversity Council for clearance and implementation in FY15.</p>	
<p><b>EEOC FORM 715-01 PART I-2</b></p>	<p><b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b></p>
<p><b>Commodity Futures Trading Commission</b></p>	<p><b>For period covering October 1, 2013 to September 30, 2014</b></p>
<p><b>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER:</b></p> <p>Provide a brief narrative describing the condition at issue.</p> <p>How was the condition recognized as a potential barrier?</p>	<p>Persons with Disabilities have low participation in the total workforce (4%) and senior level managers (0%). In addition, there are no persons with targeted disabilities in 4 of the 5 core occupations: Economist Auditing General Business and Industry General Inspection, Investigation and Compliance IT Management</p>
<p><b>BARRIER ANALYSIS:</b></p> <p>Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<ul style="list-style-type: none"> <li>Analyzed MD-715 Tables B1, B3, B4, and B6</li> <li>Discussed disability recruitment practices with HR staff</li> </ul>
<p><b>STATEMENT OF IDENTIFIED BARRIER:</b></p> <p>Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Lack of strategic objective identifying persons with disabilities as a viable applicant pool from a corporate perspective</p>
<p><b>OBJECTIVE:</b></p> <p>State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Establish external partnerships to position CFTC as a viable employer for disabled graduates and interns</p>
<p><b>RESPONSIBLE OFFICIAL:</b></p>	<p>Anthony Thompson, Lorena McElwain, Laurie Lindsay</p>
<p><b>DATE OBJECTIVE INITIATED:</b></p>	<p>06/01/12</p>
<p><b>TARGET DATE FOR COMPLETION OF OBJECTIVE:</b></p>	<p>09/30/2015</p>
<p><b>EEOC FORM 715-01 PART I-2</b></p>	<p><b>EEO Plan To Eliminate Identified Barrier</b></p>
<p><b>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</b></p>	<p><b>TARGET DATE (Must be specific)</b></p>
<p>Initiate partnership discussions with Gallaudet University</p>	<p>06/30/12</p>
<p>Include disability as a category of interest in requirements for targeted recruitment strategy plan</p>	<p>08/30/12</p>

Raise competency and ability of CFTC workforce to work with persons with disabilities by conducting a workshop on how to effectively integrate persons with disabilities in the workplace	11/30/12
Sign memorandum of agreement (MOA) with Gallaudet University and identify student interns for the summer of 2015	03/31/2015
Establish Wounded Warrior Program as a viable recruitment source	12/31/2014
Establish Workforce Recruitment Program as viable applicant source	09/30/2016
<b>REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE</b>	
CFTC met with Gallaudet in July of 2012 and initiated steps to sign an MOA. As part of this partnership, Gallaudet conducted a two-hour workshop on working effectively with persons with disabilities on November 13, 2012 during the CFTC's first Disability Awareness Month celebration.	
In December 2013, CFTC established a partnership with DOD's Operation Warfighter Office to fully engage in the use of its intern program. Communications were sent to supervisors, managers, and business mangers educating them about the intern program. In February 2014, a briefing was given by DOD to supervisors and staff to train/educate them about the program and the onboarding process. Since that time, CFTC has brought in two (2) Wounded Warriors and expect to have additional participants in the coming Fiscal Year. Persons with disabilities represented 5% of permanent hires in FY14. The declination rate for persons with disabilities (-7%) was two percentage points lower than the declination rate for the CFTC workforce (-9%). These trends contributed to the proportion of persons with disabilities being twice as high in FY14 (4%) as it was in FY11 (2%).	



**Table A2: TOTAL WORKFORCE BY COMPONENT - Distribution by Race/Ethnicity and Sex**

Employment Tenure	TOTAL EMPLOYEES		RACE/ETHNICITY															
			Hispanic or Latino		Non- Hispanic or Latino													
					White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races			
					All	male	female	male	female	male	female	male	female	male	female	male	female	male
TOTAL FY	#	666	375	291	14	7	293	170	34	80	30	33	0	0	1	0	3	1
	%	100.00	56.31	43.69	2.10	1.05	43.99	25.53	5.11	12.01	4.50	4.95	0.00	0.00	0.15	0.00	0.45	0.15
CLF 2010	%	100.00	51.84	48.16	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93	0.07	0.07	0.55	0.53	0.26	0.28
Alternate Benchmark	%	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
EXECUTIVE DIRECTOR	#	79	32	47	3	3	21	21	7	19	1	4	0	0	0	0	0	0
	%	100.00	40.51	59.49	3.80	3.80	26.58	26.58	8.86	24.05	1.27	5.06	0.00	0.00	0.00	0.00	0.00	0.00
INTERNATIONAL AFFAIRS	#	12	6	6	0	0	4	4	0	1	1	1	0	0	0	0	1	0
	%	100.00	50.00	50.00	0.00	0.00	33.33	33.33	0.00	8.33	8.33	8.33	0.00	0.00	0.00	0.00	8.33	0.00
SWAP DEALER & INT OVERSIGHT	#	81	46	35	2	1	37	19	4	8	3	6	0	0	0	0	0	1
	%	100.00	56.79	43.21	2.47	1.23	45.68	23.46	4.94	9.88	3.70	7.41	0.00	0.00	0.00	0.00	0.00	1.23
ENFORCEMENT	#	153	89	64	3	1	75	52	4	7	7	4	0	0	0	0	0	0
	%	100.00	58.17	41.83	1.96	0.65	49.02	33.99	2.61	4.58	4.58	2.61	0.00	0.00	0.00	0.00	0.00	0.00
MARKET OVERSIGHT	#	107	68	39	1	0	61	28	2	9	4	2	0	0	0	0	0	0
	%	100.00	63.55	36.45	0.93	0.00	57.01	26.17	1.87	8.41	3.74	1.87	0.00	0.00	0.00	0.00	0.00	0.00
GENERAL COUNSEL	#	46	18	28	1	0	11	15	3	7	3	6	0	0	0	0	0	0
	%	100.00	39.13	60.87	2.17	0.00	23.91	32.61	6.52	15.22	6.52	13.04	0.00	0.00	0.00	0.00	0.00	0.00
CHIEF ECONOMIST	#	6	6	0	0	0	6	0	0	0	0	0	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
DATA & TECHNOLOGY	#	81	48	33	3	0	29	11	9	16	6	6	0	0	0	0	1	0
	%	100.00	59.26	40.74	3.70	0.00	35.80	13.58	11.11	19.75	7.41	7.41	0.00	0.00	0.00	0.00	1.23	0.00
CLEARING & RISK	#	59	37	22	1	2	28	15	3	4	3	1	0	0	1	0	1	0
	%	100.00	62.71	37.29	1.69	3.39	47.46	25.42	5.08	6.78	5.08	1.69	0.00	0.00	1.69	0.00	1.69	0.00
COMMISSIONER	#	23	11	12	0	0	9	4	1	8	1	0	0	0	0	0	0	0





r more  
ces

female

0

0.00

0

0.00

0

0.00

1

0.57

1

0.32

1

0.33

0

0.00

0

0.00

0

0.00

0

0.00

0

0.00

0

0.00

0

0.00

**Table A4: Participation Rates For CFTC Grades by Race/Ethnicity and Sex (Permanent)**

Grade Level		All Employees	All Males	All Females	Hispanic or Latino Males	Hispanic or Latino Females	White Males	White Females	Black or African American Males
CT-1	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-2	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-3	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-4	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-5	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-6	#	1	0	1	0	0	0	0	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00
CT-7	#	6	1	5	0	1	0	1	1
	%	100.00	16.67	83.33	0.00	16.67	0.00	16.67	16.67
CT-8	#	8	0	8	0	0	0	1	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	12.50	0.00
CT-9	#	10	3	7	0	1	1	0	1
	%	100.00	30.00	70.00	0.00	10.00	10.00	0.00	10.00
CT-10	#	1	0	1	0	0	0	0	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00
CT-11	#	10	1	9	0	0	1	2	0
	%	100.00	10.00	90.00	0.00	0.00	10.00	20.00	0.00
CT-12	#	34	18	16	1	0	13	6	2
	%	100.00	52.94	47.06	2.94	0.00	38.24	17.65	5.88
CT-13	#	133	70	63	2	0	53	28	10
	%	100.00	52.63	47.37	1.50	0.00	39.85	21.05	7.52

CT-14	#	275	158	117	5	3	122	82	13
	%	100.00	57.45	42.55	1.82	1.09	44.36	29.82	4.73
CT-15	#	122	79	43	5	2	65	35	4
	%	100.00	64.75	35.25	4.10	1.64	53.28	28.69	3.28
All Other (Unspecified CT)	#	43	28	15	1	0	23	14	2
	%	100.00	65.12	34.88	2.33	0.00	53.49	32.56	4.65
Senior Executive Service	#	4	3	1	0	0	3	0	0
	%	100.00	75.00	25.00	0.00	0.00	75.00	0.00	0.00
Other Senior Pay (Non-SES)	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total CT Workforce (Permanent)	#	666	375	291	14	7	293	170	34
	%	100.00	56.31	43.69	2.10	1.05	43.99	25.53	5.11

<b>Black or African American Females</b>	<b>Asian Males</b>	<b>Asian Females</b>	<b>Native Hawaiian or Other Pacific Islander Males</b>	<b>Native Hawaiian or Other Pacific Islander Females</b>	<b>American Indian or Alaska Native Males</b>	<b>American Indian or Alaska Native Females</b>	<b>Two or More Races Males</b>	<b>Two or More Races Females</b>
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
1	0	0	0	0	0	0	0	0
100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
3	0	0	0	0	0	0	0	0
50.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
7	0	0	0	0	0	0	0	0
87.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
6	0	0	0	0	0	0	1	0
60.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	0.00
1	0	0	0	0	0	0	0	0
100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
7	0	0	0	0	0	0	0	0
70.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
8	1	2	0	0	1	0	0	0
23.53	2.94	5.88	0.00	0.00	2.94	0.00	0.00	0.00
24	5	10	0	0	0	0	0	1
18.05	3.76	7.52	0.00	0.00	0.00	0.00	0.00	0.75

16	16	16	0	0	0	0	2	0
5.82	5.82	5.82	0.00	0.00	0.00	0.00	0.73	0.00
5	5	1	0	0	0	0	0	0
4.10	4.10	0.82	0.00	0.00	0.00	0.00	0.00	0.00
0	2	1	0	0	0	0	0	0
0.00	4.65	2.33	0.00	0.00	0.00	0.00	0.00	0.00
1	0	0	0	0	0	0	0	0
25.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
0	0	0	0	0	0	0	0	0
0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
80	30	33	0	0	1	0	3	1
12.01	4.50	4.95	0.00	0.00	0.15	0.00	0.45	0.15

**Table A4: Participation Rates For CFTC Grades by Race/Ethnicity and Sex (Temporary)**

Grade Level		All Employees	All Males	All Females	Hispanic or Latino Males	Hispanic or Latino Females	White Males	White Females	Black or African American Males
CT-1	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-2	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-3	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-4	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-5	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-6	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-7	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-8	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-9	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-10	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-11	#	3	1	2	0	0	1	0	0
	%	100.00	33.33	66.67	0.00	0.00	33.33	0.00	0.00
CT-12	#	1	0	1	0	0	0	0	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00
CT-13	#	1	0	1	0	0	0	0	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00









%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
---	--------	------	------	------	------	------	------	------	------	------	------	------	------	------	------	------





**Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex (Permanent)**

Occupation Series Code (Four Digits)		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Hispanic or Latino		Non- Hispanic or Latino											
							White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
							male	female	male	female	male	female	male	female	male	female	male	female
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
0905	#	269	153	116	5	3	125	92	5	7	16	14	0	0	1	0	1	0
	%	100.00	56.88	43.12	1.86	1.12	46.47	34.20	1.86	2.60	5.95	5.20	0.00	0.00	0.37	0.00	0.37	0.00
Occupational CLF	%	100.00	67.10	32.90	2.70	1.80	59.80	26.30	2.10	2.50	1.80	1.60	0.00	0.00	0.10	0.10	0.60	0.60
1101	#	89	66	23	2	0	55	18	3	4	5	1	0	0	0	0	1	0
	%	100.00	74.16	25.84	2.25	0.00	61.80	20.22	3.37	4.49	5.62	1.12	0.00	0.00	0.00	0.00	1.12	0.00
Occupational CLF	%	100.00	36.70	63.30	2.80	5.80	27.10	43.80	3.60	8.80	2.40	3.20	0.00	0.10	0.20	0.40	0.60	1.00
2210	#	57	36	21	2	0	24	8	6	8	4	5	0	0	0	0	0	0
	%	100.00	63.16	36.84	3.51	0.00	42.11	14.04	10.53	14.04	7.02	8.77	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	70.40	29.60	5.40	2.20	52.20	20.90	6.40	4.40	4.70	1.40	0.10	0.00	0.20	0.20	1.20	0.40
1801	#	43	22	21	2	0	16	13	2	8	2	0	0	0	0	0	0	0
	%	100.00	51.16	48.84	4.65	0.00	37.21	30.23	4.65	18.60	4.65	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	53.60	46.40	4.30	4.30	41.00	32.20	4.20	6.80	2.70	2.00	0.10	0.10	0.40	0.40	0.80	0.60
0511	#	38	20	18	0	1	17	6	3	5	0	5	0	0	0	0	0	1
	%	100.00	52.63	47.37	0.00	2.63	44.74	15.79	7.89	13.16	0.00	13.16	0.00	0.00	0.00	0.00	0.00	2.63
Occupational CLF	%	100.00	39.90	60.10	2.20	3.90	31.80	44.20	2.40	5.60	2.90	5.30	0.00	0.10	0.10	0.30	0.40	0.70
0110	#	22	18	4	0	0	17	4	1	0	0	0	0	0	0	0	0	0
	%	100.00	81.82	18.18	0.00	0.00	77.27	18.18	4.55	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	67.10	32.90	10.50	1.80	55.80	25.20	2.80	2.70	4.40	2.70	0.00	0.10	0.20	0.10	0.50	0.40

**Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex (Temporary)**

Occupation Series Code (Four Digits)		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Hispanic or Latino		Non- Hispanic or Latino											
							White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
							All	male	female	male	female	male	female	male	female	male	female	male
0905	#	9	7	2	0	0	7	1	0	0	0	1	0	0	0	0	0	0
	%	100.00	77.78	22.22	0.00	0.00	77.78	11.11	0.00	0.00	0.00	11.11	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	67.10	32.90	2.70	1.80	59.80	26.30	2.10	2.50	1.80	1.60	0.00	0.00	0.10	0.10	0.60	0.60
0110	#	3	2	1	0	0	1	0	0	0	1	1	0	0	0	0	0	0
	%	100.00	66.67	33.33	0.00	0.00	33.33	0.00	0.00	0.00	33.33	33.33	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	67.10	32.90	10.50	1.80	55.80	25.20	2.80	2.70	4.40	2.70	0.00	0.10	0.20	0.10	0.50	0.40

**Table A7: APPLICANTS AND HIRES FOR MAJOR OCCUPATIONS by Race/Ethnicity and Sex (Permanent)**

Employment Tenure	TOTAL WORKFORCE			RACE/ETHNICITY														
				Hispanic or Latino		Non- Hispanic or Latino												
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
						male	female	male	female	male	female	male	female	male	female	male	female	male
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
<b>Occupation Series Code (Four Digits): 0110</b>																		
Total Received	#	321																
Voluntarily Identified	#	284	214	70	11	6	136	30	33	14	26	16	0	0	1	0	7	4
	%	100.00	75.35	24.65	3.87	2.11	47.89	10.56	11.62	4.93	9.15	5.63	0.00	0.00	0.35	0.00	2.46	1.41
Qualified of those Identified	#	214	160	54	7	5	99	24	24	12	25	11	0	0	1	0	4	2
	%	100.00	74.77	25.23	3.27	2.34	46.26	11.21	11.21	5.61	11.68	5.14	0.00	0.00	0.47	0.00	1.87	0.93
Selected of those Identified	#	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	67.10	32.90	3.30	1.80	55.80	25.20	2.80	2.70	4.40	2.70	0.00	0.10	0.20	0.10	0.40	0.40
<b>Occupation Series Code (Four Digits): 0511</b>																		
Total Received	#	825																
Voluntarily Identified	#	741	466	275	54	37	263	85	69	88	68	57	0	1	2	0	10	7
	%	100.00	62.89	37.11	7.29	4.99	35.49	11.47	9.31	11.88	9.18	7.69	0.00	0.13	0.27	0.00	1.35	0.94
Qualified of those Identified	#	606	372	234	53	34	201	67	51	76	58	50	0	1	1	0	8	6
	%	100.00	61.39	38.61	8.75	5.61	33.17	11.06	8.42	12.54	9.57	8.25	0.00	0.17	0.17	0.00	1.32	0.99
Selected of those Identified	#	14	9	5	0	0	9	3	0	1	0	0	0	0	0	0	0	1
	%	100.00	64.29	35.71	0.00	0.00	64.29	21.43	0.00	7.14	0.00	0.00	0.00	0.00	0.00	0.00	0.00	7.14
Occupational CLF	%	100.00	39.90	60.10	2.20	3.90	31.80	44.20	2.40	5.60	2.90	5.30	0.00	0.10	0.10	0.30	0.20	0.50
<b>Occupation Series Code (Four Digits): 0905</b>																		
Total Received	#	3211																
Voluntarily Identified	#	2795	1789	1006	137	74	1228	532	228	264	138	94	1	1	4	2	53	39
	%	100.00	64.01	35.99	4.90	2.65	43.94	19.03	8.16	9.45	4.94	3.36	0.04	0.04	0.14	0.07	1.90	1.40
Qualified of those Identified	#	2708	1733	975	132	70	1190	515	220	254	133	94	1	1	4	2	53	39
	%	100.00	64.00	36.00	4.87	2.58	43.94	19.02	8.12	9.38	4.91	3.47	0.04	0.04	0.15	0.07	1.96	1.44
Selected of those Identified	#	7	4	3	0	1	4	1	0	0	0	1	0	0	0	0	0	0
	%	100.00	57.14	42.86	0.00	14.29	57.14	14.29	0.00	0.00	0.00	14.29	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00					0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Occupation Series Code (Four Digits): 1101</b>																		
Total Received	#	920																
Voluntarily Identified	#	815	620	195	50	16	341	63	104	71	106	30	0	0	0	1	19	14
	%	100.00	76.07	23.93	6.13	1.96	41.84	7.73	12.76	8.71	13.01	3.68	0.00	0.00	0.00	0.12	2.33	1.72
Qualified of those Identified	#	651	488	163	35	14	282	53	74	60	82	22	0	0	0	1	15	13
	%	100.00	74.96	25.04	5.38	2.15	43.32	8.14	11.37	9.22	12.60	3.38	0.00	0.00	0.00	0.15	2.30	2.00
Selected of those Identified	#	8	6	2	0	0	4	2	0	0	2	0	0	0	0	0	0	0
	%	100.00	75.00	25.00	0.00	0.00	50.00	25.00	0.00	0.00	25.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	36.70	63.30	2.80	5.80	27.10	43.80	3.60	8.80	2.40	3.20	0.00	0.10	0.20	0.40	0.40	0.70

Occupation Series Code (Four Digits): 1801																		
Total Received	#	479																
Voluntarily Identified	#	419	267	152	23	14	156	55	46	66	26	13	1	1	0	0	15	3
	%	100.00	63.72	36.28	5.49	3.34	37.23	13.13	10.98	15.75	6.21	3.10	0.24	0.24	0.00	0.00	3.58	0.72
Qualified of those Identified	#	373	236	137	19	10	146	50	37	61	21	13	1	0	0	0	12	3
	%	100.00	63.27	36.73	5.09	2.68	39.14	13.40	9.92	16.35	5.63	3.49	0.27	0.00	0.00	0.00	3.22	0.80
Selected of those Identified	#	2	0	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0
	%	100.00	0.00	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Occupational CLF	%	100.00	53.60	46.40	4.30	4.30	41.00	32.20	4.20	6.80	2.70	2.00	0.10	0.10	0.40	0.40	0.60	0.40













**Table B4: Participation Rates For CFTC Grades by Disability (Permanent)**

Grade Level		All Employees	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]
CT-1	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-2	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-3	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-4	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-5	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-6	#	1	1	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-7	#	6	5	1	0	0	0	0	0
	%	100.00	83.33	16.67	0.00	0.00	0.00	0.00	0.00
CT-8	#	8	8	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-9	#	10	10	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-10	#	1	1	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-11	#	10	10	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-12	#	34	31	1	2	0	0	0	0
	%	100.00	91.18	2.94	5.88	0.00	0.00	0.00	0.00
CT-13	#	133	126	3	4	0	0	0	0
	%	100.00	94.74	2.26	3.01	0.00	0.00	0.00	0.00
CT-14	#	275	253	5	17	0	0	0	0
	%	100.00	92.00	1.82	6.18	0.00	0.00	0.00	0.00

CT-15	#	122	118	3	1	1	0	1	0
	%	100.00	96.72	2.46	0.82	0.82	0.00	0.82	0.00
All Other (Unspecified CT)	#	43	42	1	0	0	0	0	0
	%	100.00	97.67	2.33	0.00	0.00	0.00	0.00	0.00
Senior Executive Service	#	4	4	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
Other Senior Pay (Non-SES)	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total CT Workforce (Permanent)	#	647	609	14	24	1	0	1	0
	%	100.00	94.13	2.16	3.71	0.15	0.00	0.15	0.00





**Table B4: Participation Rates For CFTC Grades by Disability (Temporary)**

Grade Level		All Employees	No Disability [05]	Not Identified [01]	Disability [06-94]	Targeted Disability	Hearing [16/17 or 18]	Vision [23/25 or 21]	Missing Extremities [28, 32-38 or 30]
CT-1	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-2	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-3	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-4	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-5	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-6	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-7	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-8	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-9	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-10	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-11	#	3	3	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-12	#	1	1	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-13	#	1	1	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
CT-14	#	1	0	0	1	0	0	0	0
	%	100.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00

CT-15	#	5	4	1	0	0	0	0	0
	%	100.00	80.00	20.00	0.00	0.00	0.00	0.00	0.00
All Other (Unspecified CT)	#	4	4	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
Senior Executive Service	#	4	4	0	0	0	0	0	0
	%	100.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00
Other Senior Pay (Non-SES)	#	0	0	0	0	0	0	0	0
	%	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total CT Workforce (Temporary)	#	19	17	1	1	0	0	0	0
	%	100.00	89.47	5.26	5.26	0.00	0.00	0.00	0.00











00'0"







0.00







Dwarfism [92]
0
0.00
0
0.00



Psychiatric Disability [91]	Dwarfism [92]
0	0
0.00	0.00
0	0
0.00	0.00
69	0
0.51	0.00
0	0
0.00	0.00